

COVINGTON & BURLING

1201 PENNSYLVANIA AVENUE NW WASHINGTON, DC
WASHINGTON, DC 20004-2401 NEW YORK
TEL 202.662.6000 LONDON
FAX 202.662.6291 BRUSSELS
WWW.COV.COM SAN FRANCISCO

PAUL J. BERMAN
TEL 202.662.5468
FAX 202.778.5468
PBERMAN COV.COM



December 4, 2000

Box Missing Parts

Commissioner for Patents
Washington, D.C. 20231

Re: U.S. Utility Application
Appl. No. 09/638,954; Filed: August 16, 2000
For: **Open-Architecture system for Real-time Consolidation
of Information From Multiple Financial Systems**
Inventors: Cathy C. NORTHINGTON and Louis J. GOODSON
Our Ref: 16762.093A.US02

Sir:

The following documents are forwarded herewith for appropriate action by the U.S. Patent and Trademark Office:

1. Response to Notice to File Missing Parts of Application (in duplicate);
2. Copy of Notice to File Missing Parts of Nonprovisional Application;
3. Form PTO-1083 (in duplicate);
4. Second Preliminary Amendment;
5. Return postcard; and
6. Our Check No. 272283 for \$1,002.00 to cover:

\$710.00 Filing Fee for Patent Application (37 C.F.R. § 1.16)
\$162.00 extra claim fee (37 C.F.R. § 1.16)
\$130.00 late filing surcharge fee (37 C.F.R. § 1.16).

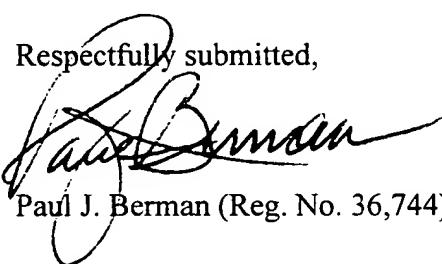
It is respectfully requested that the attached postcard be stamped with the filing date of these documents and returned to our courier.

COVINGTON & BURLING

Commissioner for Patents
December 4, 2000
Page 2

The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 50-0740 referencing docket number 16762.093A.US02. If extensions of time under 37 C.F.R. § 1.136 other than those otherwise provided for herewith are required to prevent abandonment of the present patent application, then such extensions of time are hereby petitioned, and any fees therefor are hereby authorized to be charged to our Deposit Account No. 50-0740 referencing docket number 16762.093A.US02. A duplicate copy of this letter is enclosed.

Respectfully submitted,



Paul J. Berman (Reg. No. 36,744)

Enclosures

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:
Cathy C. NORTHINGTON and
Louis J. GOODSON

Appl. No. 09/638,954

Filed: August 16, 2000

For: Open-Architecture System for Real-time Consolidation of Information from Multiple Financial Systems

Art Unit: 2161

Examiner: Unassigned

Attorney Docket: 16762.093A.US02



**Response to Notice to File
Missing Parts of Application**

Commissioner for Patents
Washington, D.C. 20231
ATTN: Box Missing Parts

Sir:

In response to the **Notice to File Missing Parts of Application--Filing Date Granted** dated October 3, 2000, Applicants submit the following documents for appropriate action by the U.S. Patent and Trademark Office:

- Copy of the Notice to File Missing Parts;
- Form PTO-1083 (in duplicate);
- Second Preliminary Amendment;
- Return postcard; and
- Our Check No. 272283 for \$1,002.00 to cover:

\$710.00 Filing Fee for Patent Application (37 C.F.R. § 1.16)
\$162.00 Fee for excess claims (37 C.F.R. § 1.16)
\$130.00 late filing Surcharge.

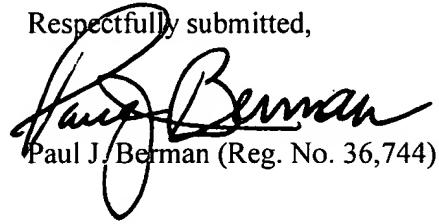
It is respectfully requested that the attached postcard be stamped with the date of filing of these documents, and that it be returned to our courier.

Cathy C. NORTHINGTON
and Louis J. GOODSON
Appln. No. 09/638,954

- 2 -

The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 50-0740 referencing docket number 16762.093A.US02. If extensions of time under 37 C.F.R. § 1.136 other than those otherwise provided for herewith are required to prevent abandonment of the present patent application, then such extensions of time are hereby petitioned, and any fees therefor are hereby authorized to be charged to our Deposit Account No. 50-0740 referencing docket number 16762.093A.US02. A duplicate copy of this Response is enclosed.

Respectfully submitted,



Paul J. Berman (Reg. No. 36,744)

(December 3, 2000 = **Sunday**)
December 4, 2000 = **Monday**

COVINGTON & BURLING
1201 Pennsylvania Avenue, N.W.
Washington, D.C. 20004-2401
(202) 662-6000

(3)



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
 UNITED STATES PATENT AND TRADEMARK OFFICE
 WASHINGTON, D.C. 20231
 www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/638,954	08/16/2000	Cathy C. Northington	16762.093A

Andrea G Reister
 Covington & Burling
 1201 Pennsylvania Avenue NW
 Washington, DC 20004-2401



FORMALITIES LETTER



OC000000005445751

Date Mailed: 10/03/2000

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.
Applicant must submit \$ 690 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 820.

*A copy of this notice **MUST** be returned with the reply.*

Pace C
 Customer Service Center
 Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

12/05/2000 HN00R1 00000077 09638954

01 FC:101	710.00	0P
02 FC:105	130.00	0P
03 FC:103	162.00	0P

COVINGTON & BURLING
1201 Pennsylvania Avenue, N.W.
Washington, D.C. 20004-2401
(202) 662-6000

FORM PTO-1083

Attorney Docket No. 16762.093A.US02

In re application of Cathy C. NORTHINGTON and Louis J. GOODSON
Appl. No. 09/638,954

Filed: August 16, 2000

For: **Open-Architecture System for Real-Time Consolidation
of Information from Multiple Financial Systems**

THE ASSISTANT COMMISSIONER FOR PATENTS
Washington, D.C. 20231



Sir:

Transmitted herewith is an amendment in the above-identified application.

- Small entity status of this application under 37 CFR §§ 1.9 and 1.27 has been established by a statement previously submitted.
- A statement to establish small entity status under 37 CFR §§ 1.9 and 1.27 is enclosed.
- No additional claim fee is required.

The claim fee has been calculated as shown below:

	(Col. 1)	(Col. 2)	(Col. 3)	SMALL ENTITY	OTHER THAN A SMALL ENTITY
	Claims Remaining After Amendment		Highest No. Previously Paid For	Present Extra	
Total Claims	* 29	MINUS	** 20	= 9	
<input type="checkbox"/> FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM					
				Rate Addit. Fee	Rate Addit. Fee
				x 9 = \$ 00.00	
				x 39 = \$ 00.00	
				+130 = \$ 00.00	
				Total Addit. Fee	TOTAL
				\$ 00.00	\$ 162.00

* If the entry in Col. 1 is less than the entry in Col. 2, write "0" in Col. 3.

** If the "Highest Number Previously Paid For" IN THIS SPACE is less than 20, write "20" in this space.

*** If the "Highest Number Previously Paid For" IN THIS SPACE is less than 3, write "3" in this space.

The "Highest Number Previously Paid For" (Total or Independent) is the highest number found from the equivalent box in Col. 1 of a prior amendment or the number of claims originally filed.

- Please charge my Deposit Account No. 50-0740 in the amount of \$ * referencing docket number *. A duplicate copy of this sheet is attached.
- xx Check number * in the amount of \$1,002.00 is attached for: \$710 basic filing fee; \$162 for add'l claims fee; and \$130 late filing surcharge.
- xx The U.S. Patent and Trademark Office is hereby authorized to charge payment of the following fees associated with this communication or credit any overpayment to Deposit Account No. 50-0740 referencing docket number 16762.093A.US02. A duplicate copy of this sheet is attached.

xx Any filing fees under 37 CFR § 1.16 for the presentation of extra claims.
xx Any patent application processing fees under 37 CFR § 1.17.

(December 3, 2000 = Sunday)
Date: Monday, December 4, 2000

Paul J. Berman (Reg. No. 36,744)